

12-11-03

PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/611,458	
	Filing Date	July 1, 2003	
	First Named Inventor	Scott Johnston	
	Art Unit	3624	
	Examiner Name	T/B/D	
Total Number of Pages in This Submission		Attorney Docket Number	006119.00007

ENCLOSURES (check all that apply)				
<input type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <b>Form PTO/SB/08B</b> <b>1 Cited Reference</b> <b>Postcard Receipt</b>		
<table border="1"><tr><td>Remarks</td><td><b>The Commissioner is hereby authorized to charge any fees due to Deposit Account Number 19-0733.</b></td></tr></table>			Remarks	<b>The Commissioner is hereby authorized to charge any fees due to Deposit Account Number 19-0733.</b>
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Charles L. Miller
Signature	
Date	December 9, 2003

CERTIFICATE OF MAILING			
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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Atty. Docket No. 6119.00007)

In re Application of: Scott Johnston, et al	)	
	)	Group Art Unit: 3624
Serial No.: 10/611,458	)	
	)	Examiner: T/B/D
Filed: July 1, 2003	)	
	)	Confirmation No. 1628
For: Derivatives Trading Methods That Use A	)	
Variable Order Price And A Hedge Transaction	)	

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Non Fee Amendment  
Commissioner for Patents  
Alexandria VA 22313

Dear Sir:

Pursuant to 37 C.F.R. Section 1.97-1.98, Applicants wish to make the following references listed on the enclosed Form PTO/SB/08B of record in the above-identified application. This Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 C.F.R. Section 1.56. Copies of the references cited are enclosed.


Applicants believe no fees are due. However, the Commissioner is authorized to charge any fees that may be due to our Deposit Account No. 19-0733.

Respectfully submitted,

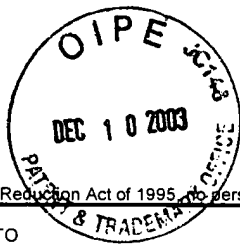
**BANNER & WITCOFF, LTD.**

Dated: December 9, 2003

By:

  
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Reg. No. 43,805

Banner & Witcoff, Ltd.  
10 South Wacker Drive  
Chicago, Illinois 60606  
Telephone (312) 715-1000



PTO/SB/08B (08-03)

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number 10/611,458

Filing Date July 1, 2003

First Named Inventor Scott Johnston

Art Unit 3624

Examiner Name T/B/D

Attorney Docket Number 006119.00007

Sheet 1 of 1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Introduction to the International Securities Exchange, International Securities Exchange, pp 1-12, 1999	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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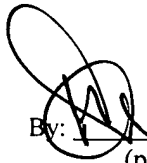


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(Attorney Docket No.6119.00007)

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By:  \_\_\_\_\_  
(person actually depositing)

In the Application of: Scott Johnston, et al

Serial No.: 10/611,458

Title: Derivatives Trading Methods That Use A Variable Order Price And A Hedge Transaction

- ☒ Form PTO/SB/21 (in duplicate)
- ☒ Information Disclosure Statement
- ☒ Form PCT/SB/08B
- ☒ Cited Reference
- ☒ Postcard

Attorney Docket No.: 6119.00007